

07-11-06  
PTO/SB/21 (09-04)  
Approved for use through 7/31/2006  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction act of 1995, no person is required to respond to a collection of information unless it displays a valid OMB control number.

# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	10/019,450	
	Filing Date	May 23, 2002
	First Named Inventor	Ravi Chandran et al.
	Art Unit	2626
	Examiner Name	James S. Wozniak
Attorney Docket Number	12447US02	
Total Number of Pages in This Submission		

## ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Reply to Missing Parts/Incomplete Application <input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD Number of CD(s) _____ <input type="checkbox"/> Landscape Table on CD	<input type="checkbox"/> After Allowance Communication to TC <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Return-Receipt Postcard <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
Remarks	Copies of Other Publications listed on IDS	

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual Name	McAndrews Held & Malloy, Ltd.		
Name (Print/type)	James H. Williams	Registration No. (Attorney/Agent)	56,883
Signature	<i>James H. Williams</i>		Date: July 10, 2006

## EXPRESS MAIL DEPOSIT

"Express Mail" mailing label number : EV 726843590 US  
Date of Deposit July 10, 2006.

JUL 10 2006

PTO/SB/17 (01-06)

Approved for use through 07/31/2006. OMB 0651-0032

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Fees pursuant to the Consolidated Appropriates Act, 2005 (H.R. 4818).

**FEE TRANSMITTAL  
for FY 2006****Complete if Known**

Application Number	10/019,450
Filing Date	May 28, 2002
First Named Inventor	Ravi Chandran et al.
Examiner Name	James S. Wozniak
Art Unit	2626
Attorney Docket No.	12447US02

☐ Applicant claims small entity status. See 37 CFR 1.27**TOTAL AMOUNT OF PAYMENT** (\$) 180.00

METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit Card ☐ Money Order ☐ None ☐ Other (please identify): \_\_\_\_\_☒ Deposit Account Deposit Account Number: 13-0017 Deposit Account Name: McAndrews Held & Malloy

For the above-identified deposit account, the Director is hereby authorized to (check all that apply)

☒ Charge Fee(s) indicated below☐ Charge Fee(s) indicated below, except for the filing fee☒ Charge any additional fee(s) or underpayments of fees(s) ☒ Credit any overpayments  
under 37 CFR 1.16 and 1.17**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**FEE CALCULATION (All the fees below are due upon filing or may be subject to a surcharge.)****1. BASIC FILING, SEARCH, AND EXAMINATION FEES**

Application Type	FILING FEES		SEARCH FEES		EXAMINATION FEES		Fees Paid(\$)
	Fee (\$)	Small Entity Fee(\$)	Fee(\$)	Small Entity Fee(\$)	Fee(\$)	Small Entity Fee(\$)	
Utility	300	150	500	250	200	100	
Design	200	100	100	50	130	65	
Plant	200	100	300	150	160	80	
Reissue	300	150	500	250	600	300	
Provisional	200	100	0	0	0	0	

**2. EXCESS CLAIM FEES**

Fee Description	Small Entity	
	Fee(\$)	Fee(\$)
Each claim over 20 (including Reissues)	50	25
Each independent claim over 3 (including Reissues)	200	100
Multiple dependent claims	360	180
<b>Total Claims</b>	<b>Extra Claims</b>	<b>Fee(\$)</b>
-20 or HP	x	=
HP = highest number of total claims paid for, if greater than 20		
<b>Indep. Claims</b>	<b>Extra Claims</b>	<b>Fee(\$)</b>
-3 or HP	x	=
HP = highest number of independent claims paid for, if greater than 3		

**3. APPLICATION SIZE FEE**

If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listings under 37 CFR 1.52(e)), the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof	Fee(\$)	Fee Paid(\$)
-100	/50	(round up to a whole number)	x	=

**4. OTHER FEE(S)**

Non-English Specification, \$130 fee (no small entity discount)

Other (e.g., late filing surcharge): Fee set forth in 37 C.F.R. 1.17(p)

\$180.00

**SUBMITTED BY**

Signature	<i>James H. Williams</i>	Registration No. (Attorney/Agent)	56,883	Telephone	(312)775-8000
Name (print/type)	James H. Williams	Date	July 10, 2006		



UNITED STATES PATENT AND TRADEMARK OFFICE  
(Attorney Docket No. 12447US02)

In the Application of:

Ravi Chandran et al.

Serial No. 10/019,450

Filed: May 28, 2002

For: Coded Domain Adaptive Level  
Control of Compressed Speech

Examiner: James S. Wozniak

Group Art Unit: 2626

EXPRESS MAIL:

EV 726843590 US

DATE:

July 10, 2006

INFORMATION DISCLOSURE STATEMENT

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sirs:

Pursuant to 37 C.F.R. § 1.97-1.98 and in compliance with the duty of disclosure set forth in 37 C.F.R. § 1.56, it is respectfully requested that the following references be considered in the examination of the above-identified patent application:

<u>U.S. Patent No.</u>	<u>Date</u>	<u>Name</u>
4,969,192	11-06-1990	Chen et al.
5,097,507	03-17-1992	Zinser et al.
5,371,853	12-06-1994	Kao et al.
5,495,555	02-27-1996	Swaminathan
5,615,298	03-25-1997	Chen
5,633,982	05-27-1997	Ganesan et al.
5,651,091	07-22-1997	Chen
5,659,622	08-19-1997	Ashley

07/12/2006 HDESTA1 00000089 130017 10019450  
01 FC:1806 180.00 DA

5,680,508	10-21-1997	Liu
5,732,188	03-24-1998	Moriya et al.
5,878,387	03-02-1999	Oshikiri et al.
5,995,923	11-30-1999	Mermelstein et al.
6,026,356	02-15-2000	Yue et al.
6,266,644	07-24-2001	Levine
6,453,289	09-17-2002	Ertem et al.

OTHER PUBLICATIONS

1. A.M. KONDOZ, "Digital Speech Encoding for Low Bit Rate Communications Systems," Chapter 2, pp. 5-32, John Wiley & Sons, 1994.
2. A.M. KONDOZ, "Digital Speech Encoding for Low Bit Rate Communications Systems," Chapter 3, pp. 35-77, John Wiley & Sons, 1994.
3. A.M. KONDOZ, "Digital Speech Encoding for Low Bit Rate Communications Systems," Chapter 6, pp. 141-213, John Wiley & Sons, 1994.
4. J.R. DELLER, J.G. PROAKIS, J.H.L. HANSEN, "Discrete-Time Processing of Speech Signals," Chapter 7, Prentice-Hall, Inc., 1987.
5. GSM 04.53, "Digital cellular telecommunications system (Phase 2+); Inband Tandem Free Operation (TFO) of Speech Codecs," October 1998.
6. GSM 06.20, "Digital cellular telecommunications system (Phase 2+); Half rate speech; Half rate speech transcoding," May 1998.
7. GSM 06.82, "Digital cellular telecommunications system (Phase 2+); Inband Tandem Free Operation (TFO) of Speech Codecs," ETSI, March 2000.
8. ITU-T Recommendation G.711, "General Aspects of Digital Transmission Systems," 1993.

OTHER PUBLICATIONS (continued)

9. L. RABINER & R. SCHAFER, "Digital Processing of Speech Signals, Chapter 5, pp. 179-216, Signal Processing, Prentice-Hall, 1978.
10. SAEED V. VASEGHI, "Advanced Signal Processing and Digital Noise Reduction," Chapter 9, pp. 242-260, ISBN WILEY 0471958751, 1996.
11. GSM 06.31, version 5.0.1, "Digital cellular telecommunications system; Full rate speech; Discontinuous Transmission (DTX) for full rate speech traffic channels," May 1997.

The above-identified references are listed on the attached Form PTO/SB/08a and copies are also enclosed herewith. This submission is in no way intended as an admission that the above-cited references constitute prior art. Applicant expressly retains the right to take any actions necessary to remove the above-cited references from the available prior art. Consideration of the above-identified references in the examination of the present patent application is respectfully requested.

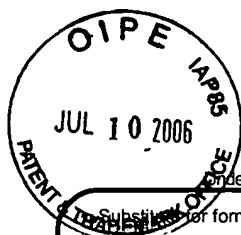
The Commissioner is hereby authorized to charge the \$180.00 fee set forth in 37 C.F.R. 1.17 (p) to the Deposit Account of McAndrews, Held & Malloy, No. 13-0017. Additionally, the Commissioner is hereby authorized to charge any additional fees which may be required or credit any overpayment to Account No. 13-0017.

Respectfully submitted,

July 10, 2006  
Date

James H. Williams  
James H. Williams  
Registration No. 56,883

MCANDREWS, HELD & MALLOY, LTD.  
500 West Madison Street, 34th Floor  
Chicago, Illinois 60661  
Telephone: (312) 775-8000  
Facsimile: (312) 775-8100



PTO/SB/08a (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitution for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 1 of 2

**Complete if Known**

Application Number	10/019,450
Filing Date	05/28/2002
First Named Inventor	Ravi Chandran
Art Unit	2626
Examiner Name	James S. Wozniak
Attorney Docket Number	12447US02

**U.S. PATENT DOCUMENTS**

Examiner Initials *	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>2</sup> (if known)			
	A-1	US- 4,969,192	11-06-1990	Chen et al.	
	A-2	US- 5,097,507	03-17-1992	Zinser et al.	
	A-3	US- 5,371,853	12-06-1994	Kao et al.	
	A-4	US- 5,495,555	02-27-1996	Swaminathan	
	A-5	US- 5,615,298	03-25-1997	Chen	
	A-6	US- 5,633,982	05-27-1997	Ganesan et al.	
	A-7	US- 5,651,091	07-22-1997	Chen	
	A-8	US- 5,659,622	08-19-1997	Ashley	
	A-9	US- 5,680,508	10-21-1997	Liu	
	A-10	US- 5,732,188	03-24-1998	Moriya et al.	
	A-11	US- 5,878,387	03-02-1999	Oshikiri et al.	
	A-12	US- 5,995,923	11-30-1999	Mermelstein et al.	
	A-13	US- 6,026,356	02-15-2000	Yue et al.	
	A-14	US- 6,266,644	07-24-2001	Levine	
	A-15	US- 6,453,289	09-17-2002	Ertem et al.	

**FOREIGN PATENT DOCUMENTS**

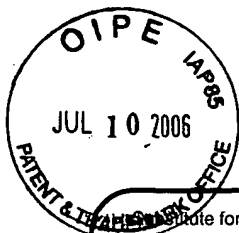
Examiner Initials *	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	† <sup>6</sup>
		Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (if known)				

Examiner  
SignatureDate  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



PTO/SB/08b(08-03)

Approved for use through 07/31/2006. OMB 0651-0031  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number

<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)		<b>Complete if Known</b>			
		Application Number	10/019,450		
		Filing Date	05/28/2002		
		First Named Inventor	Ravi Chandran		
		Art Unit	2626		
		Examiner Name	James S. Wozniak		
Sheet	2	of	2	Attorney Docket Number	12447US02

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	C-1	A.M. KONDOZ, "Digital Speech Encoding for Low Bit Rate Communications Systems," Chapter 2, pp. 5-32, John Wiley & Sons, 1994.	
	C-2	A.M. KONDOZ, "Digital Speech Encoding for Low Bit Rate Communications Systems," Chapter 3, pp. 35-77, John Wiley & Sons, 1994.	
	C-3	A.M. KONDOZ, "Digital Speech Encoding for Low Bit Rate Communications Systems," Chapter 6, pp. 141-213, John Wiley & Sons, 1994.	
	C-4	J.R. DELLER, J.G. PROAKIS, J.H.L. HANSEN, "Discrete-Time Processing of Speech Signals," Chapter 7, Prentice-Hall, Inc., 1987.	
	C-5	GSM 04.53, "Digital cellular telecommunications system (Phase 2+); Inband Tandem Free Operation (TFO) of Speech Codecs," October 1998.	
	C-6	GSM 06.20, "Digital cellular telecommunications system (Phase 2+); Half rate speech; Half rate speech transcoding," May 1998.	
	C-7	GSM 06.82, "Digital cellular telecommunications system (Phase 2+); Inband Tandem Free Operation (TFO) of Speech Codecs," ETSI, March 2000.	
	C-8	ITU-T Recommendation G.711, "General Aspects of Digital Transmission Systems," 1993.	
	C-9	L. RABINER & R. SCHAFER, "Digital Processing of Speech Signals, Chapter 5, pp. 179-216, Signal Processing, Prentice-Hall, 1978.	
	C-10	SAEED V. VASEGHI, "Advanced Signal Processing and Digital Noise Reduction," Chapter 9, pp. 242-260, ISBN WILEY 0471958751, 1996.	
	C-11	GSM 06.31, version 5.0.1, "Digital cellular telecommunications system; Full rate speech; Discontinuous Transmission (DTX) for full rate speech traffic channels," May 1997.	

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.